

*ITW*

Docket No.  
649087/0004  
IGD/JMM

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: **James Worden Toffey**

Group Art Unit: **3624**

Application No.: **10/808,820**

Examiner: **Not Yet Assigned**

Filed: **March 25, 2004**

For: **Method and System for Effecting Straight-Through-Processing of Trades of Various Financial Instruments**

Date: **August 2, 2006**

**CERTIFICATE OF MAILING**  
**BY "FIRST CLASS MAIL" (37 C.F.R. § 1.8)**

Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

Sir:

I hereby certify that the following correspondence:

**Return Postcard; Information Disclosure Statement (3 pgs); PTO/SB/08b (1 pg.) and International Search Report dated June 19, 2006 in International Application No. PCT/US2005/10226 (4 pgs.)**

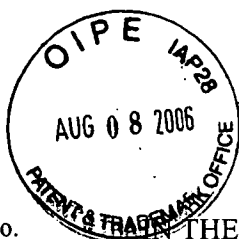
is being deposited on August 2, 2006 with the United States Postal Service as first class mail in an envelope bearing sufficient postage thereon and addressed to:

**Mail Stop Amendment**  
**Commissioner for Patents**  
**PO Box 1450**  
**Alexandria, Virginia 22313-1450.**

**Jeffrey Mann**

(Typed Or Printed Name Of Person Mailing Correspondence)

(Signature Of Person Mailing Correspondence)



Docket No.  
649087/0004  
IGD/JMM

**THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: **James Worden Toffey**

Group Art Unit: **3624**

Application No.: **10/808,820**

Examiner: **To Be Assigned**

Filed: **March 25, 2004**

For: **METHOD AND SYSTEM FOR EFFECTING STRAIGHT-THROUGH-PROCESSING  
OF TRADES OF VARIOUS FINANCIAL INSTRUMENTS**

Date: **August 2, 2006**

**INFORMATION DISCLOSURE STATEMENT**

**Mail Stop Amendment**

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and in accordance with the practice under 37 C.F.R. §§ 1.97 and 1.98, the Examiner's attention is directed to the documents listed on the enclosed Information Disclosure Statement by Applicant form (PTO/SB/08A and/or B, PTO-1449, or equivalent).

The following checked sections apply to this Information Disclosure Statement:

- ☒ In accordance with 37 C.F.R. § 1.98(a)(2)(ii) as revised at 69 Fed. Reg. 56481 (September 21, 2004), copies of the cited U.S. patent application publication(s) and/or U.S. patent(s) have not been submitted.
- ☒ The cited reference(s) were called to Applicant'(s) attention in a counterpart foreign patent application. A copy of the official communication in that counterpart foreign patent application citing the reference(s) is submitted herewith, and the Examiner is respectfully directed thereto for a concise explanation of the relevance of the cited art.
- ☐ At least some of the cited references are not (or the cited reference is not) in English, and so English abstracts of those references (that reference) are provided, if available.
- ☐ At least some of the cited references are not (or the cited reference is not) in English, and so machine English translations of those references (that reference) are provided, where available.
- ☒ This Information Disclosure Statement is being filed (1) within three months of the filing date of a national application other than a continued prosecution application under Sec. 1.53(d), (2) within three months of the date of entry of the national stage as set forth in Sec. 1.491 in an international application, (3) before the mailing of a first Office action on the merits, or (4) before the mailing of a first Office action after the filing of a Request

for Continued Examination under 37 C.F.R. § 1.114. Accordingly, neither a fee nor Statement under 37 C.F.R. § 1.97(e) is due.

☐ This Information Disclosure Statement is being filed before the mailing date of any of a final action under 37 C.F.R. § 1.113, a Notice of Allowance under 37 C.F.R. § 1.311, or an action that otherwise closes prosecution in the application, and so is accompanied by one of:

(1) A Statement under 37 C.F.R. § 1.97(e), which follows; or

(2) The fee set forth in 37 C.F.R. § 1.17(p), authorization for which follows.

☐ This Information Disclosure Statement is being filed on or before payment of the issue fee and is accompanied by:

(1) A Statement under 37 C.F.R. § 1.97(e), which follows; and

(2) The fee set forth in 37 C.F.R. § 1.17(p), authorization for which follows.

☐ Fee Under 37 C.F.R. § 1.17(p)

The Commissioner is authorized to charge the fee under 37 C.F.R. § 1.17(p) (\$180) to Deposit Account No. 19-4709.

☐ Statement Under 37 C.F.R. § 1.97(e)

Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement; or

No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in Sec. 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

☒ Additional Comments

Applicant(s) have the following additional comments:

**The cited International Search Report dated June 19, 2006 was brought to Applicant's attention in related int'l patent appln. no. PCT/US2005/10226. A copy of the Search Report is submitted herewith, and the Examiner is respectfully directed thereto for a concise explanation of the relevance of the cited art. The U.S. Patents have already been cited by the Applicant in an IDS filed November 30, 2005 and are already of record in this application, and have therefore not been cited again.**

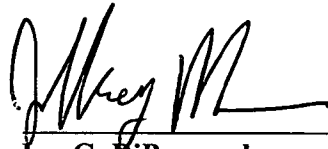
U.S. Patent Appln. No. 10/808,820  
Information Disclosure Statement  
Filed August 2, 2006

It is respectfully requested that the above information be considered by the Examiner and that an initialed copy of the accompanying Information Disclosure Statement by Applicant form (PTO/SB/08A and/or B, PTO-1449, or equivalent) be returned to the undersigned indicating that such information has been considered.

Other than any fees mentioned above, no fees are believed to be due in connection with this Information Disclosure Statement. Nevertheless, the Commissioner is authorized to charge any fees which are deemed to be now or hereafter due in connection with this paper to Deposit Account No. 19-4709.

Favorable consideration and prompt allowance of this application is respectfully requested. In the event that there are any questions, or should additional information be required, please contact Applicant'(s) attorney at the number listed below.

Respectfully submitted,



Ian G. DiBernardo

REG. NO. 51,993

for

Reg. No. 40,991

Attorney for Applicant(s)

Stroock & Stroock & Lavan, LLP

180 Maiden Lane

New York, New York 10038

(212) 806-5400



Approved for use through 06/30/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

**(Use as many sheets as necessary)**

1

**649087/0004**

**International Search Report dated 19 June 2006 in International Application No. PCT/US2005/10226**

03/18/2008

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

SSL-DOCS1 1707952v1